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SUBSIDIARY BODY FOR IMPLEMENTATION

Fifth session

Bonn, 25-28 February 1997

DRAFT CONCLUSIONS SUBMITTED BY THE CHAIRMAN

1.

On the basis of proposals presented by the Chairman, the Subsidiary Body for Implementation (SBI) adopted the following conclusions:

2. ORGANIZATIONAL MATTERS

C. Election of officers other than the chairman

2.

At the first meeting of the SBI, the Chairman announced that, as a result of the informal consultations which he conducted, agreement has been reached on the election of officers other than the Chairman. Mr. José Romero (Switzerland) has been nominated vice chairman and Ms. Patricia Iturregui Byrne (Peru) has been nominated rapporteur. The SBI elected these officers by acclamation and the Chairman congratulated them on behalf of the SBI.

3. NATIONAL COMMUNICATIONS

A. Communications from parties included in annex I to the Convention

3. The SBI took note of the report of the secretariat on the progress made in the process of review of the first national communications from Parties included in Annex I to the

Convention and urged the secretariat to publish pending IDR reports as soon as it is practicable.

4. The SBI encouraged Parties included in Annex I to the Convention to submit second national communications and inventory data by 15 April 1997. It also noted with appreciation that one Annex I Party had already submitted its second national communication to the secretariat.

5. The SBI welcomed the convening of the informal workshop and took note of the oral report of its Chairmen. It concluded that the workshop served a useful purpose in allowing Parties and observers to exchange information and views on the implementation aspects of specific policies and measures taken by Parties included in Annex I to the Convention. It also requested the secretariat to explore possibilities of exchanging experiences on the implementation of the Convention, including, by further convening workshops on specific topics, in conjunction with future sessions of the SBI.

B. Communications from parties not included in annex I to the Convention

6. The SBI took note of the activities undertaken by the secretariat to facilitate the provision of support to non-annex I Parties for the preparation of their initial national communications described in document FCCC/SBI/1997/INF.1, and requested the secretariat to continue to report to the SBI at future sessions on further progress achieved.

4. FINANCIAL AND TECHNICAL COOPERATION

A. Financial mechanism: review process referred to in decision 9/CP.1

Conclusions to be provided.

B. Information on relevant action by the Council of the Global Environment Facility

Conclusions to be provided.

5. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES

7. The SBI took note of the workshop on technology transfer held during this session, and further noted that the SBSTA intended to have a comprehensive debate on technology and technology transfer. The SBI decided to defer the consideration of item 5 and requested the SBSTA to refer to it, as necessary, and items that may require the attention of the SBI.

6. ADMINISTRATIVE AND FINANCIAL MATTERS

A. Programme budget for 1998-1999: perspectives on financial requirements

8. The SBI endorsed the following timetable and process for the review and adoption of the programme budget for the biennium 1998-1999:

- (a) A comprehensive programme budget will be proposed in a timely manner by the Executive Secretary for consideration at SBI 6 (July 1997), which will complete its review of the budget at that session and recommend a budget decision to the COP for adoption;

- (b) The recommended decision will follow the precedent of that adopted by COP 1 (FCCC/CP/1995/7/Add.1, decision 17/CP.1), providing a total budget with allocations by programme, a secretariat-wide staffing table broken down by level and a provision enabling the Executive Secretary to switch resources among programmes within limits;
 - (c) On account of prevailing uncertainties, some elements of the programme budget may have to be recommended by the SBI as contingencies, depending on decisions of COP 3 or the United Nations General Assembly at its fifty-second session;
 - (d) On the basis of its recommended budget decision, the SBI will authorize the Executive Secretary to notify the Parties by 1 October 1997 of their indicative contributions due to the core budget by 1 January 1998;
 - (e) The decision on the programme budget will be adopted by COP 3 as recommended by the SBI, except for any modifications that may result from other decisions of COP 3;
 - (f) Information on financial performance in 1996-1997 will be provided to COP 3, in accordance with decision 16/CP.2, paragraph 14 (see FCCC/CP/1996/15/Add.1).
9. The SBI requested the Executive Secretary to propose a programme budget for the biennium 1998-1999, for consideration by SBI 6, taking account of the views expressed by delegations at SBI 5.
10. The SBI requested the Chairman of the SBI to consider convening broadly representative informal intersessional consultations to facilitate agreement on the programme budget at SBI 6.

B. Volume of documentation

11. The SBI recalled decision 17/CP.2 of the Conference of the Parties at its second session, whereby it requested the Executive Secretary to submit to the SBI, at its fifth session, further options for reducing the cost of documentation for the meetings of the Conference of the Parties and its subsidiary bodies. The SBI took note that the Executive Secretary required more time to prepare recommendations on this matter and would submit them to the SBI at its sixth session.
12. The SBI also took note of the policy being applied by the United Nations Office at Geneva, in accordance with General Assembly resolution 36/117B, of 10 December 1981, not to distribute official documents until all language versions are ready for simultaneous distribution. In the light of this policy, the SBI recommended that the

agendas of the Convention bodies should, as far as possible, include only items for which the documents were expected to be available in advance in all the official languages. The SBI considered that there were some documents whose consideration could not be scheduled this way, for example the annotated agendas and the reports of sessions of Convention bodies, and the documentation of the Ad Hoc Group on the Berlin Mandate.

13. In the light of these considerations, the SBI requested the Executive Secretary to explore with the United Nations Office at Geneva the possibility that, when justified, certain documents may exceptionally be distributed in each language, as available.

7. LEGAL MATTERS

A. Implementation of the headquarters agreement

14. The SBI took note of the actions by the United Nations and the Government of the Federal Republic of Germany to complete the formal requirements for the entry into force of the Agreement among the United Nations, the Government of the Federal Republic of Germany and the secretariat of the United Nations Framework Convention on Climate Change concerning the headquarters of the Convention secretariat, and requested the secretariat to provide to the SBI, relevant information at its next session.

B. Action by the depositary of the Convention

15. The SBI took note of the opinion provided by the Treaty Office of the United Nations Office of Legal Affairs on the request of the Czech Republic and the Slovak Republic that the name of Czechoslovakia be deleted from Annex I to the Convention, and that the names of the Czech Republic and the Slovak Republic be included in Annex I and decided to recommend to the Conference of the Parties (COP) to take up the request from the Czech and Slovak Republics when it comes to review the lists in Annexes I and II to the Convention.

8. MATTERS ARISING FROM THE UNITED NATIONS GENERAL ASSEMBLY

A. Special session on Agenda 21: inputs from UNFCCC

16. The SBI endorsed the elements contained in document FCCC/SBI/1997/4 as revised and requested the Executive Secretary to forward them to the special session on Agenda 21 of the United Nations General Assembly.

B. Action by the General Assembly at its 51st session

17. The SBI took note of the action taken by the United Nations General Assembly, at its 51st session, on matters related to the Climate Change Convention and requested the Executive Secretary to report on the review of administrative arrangements at its sixth session.

9. ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS

A. The third session of the Conference of the Parties

18. The SBI took note with satisfaction of the arrangements that are being made by the Government of Japan as the host Party of COP 3 and it looked forward to additional information concerning these arrangements, in particular on the conclusion of a memorandum of understanding between the Government of Japan and the secretariat of the UNFCCC related to the hosting of the session at Kyoto, Japan.

19. The SBI requested the Executive Secretary to provide a note at its sixth session, containing a list of possible elements for the provisional agenda for COP 3 focused on the completion of the work of the Berlin Mandate and its adoption and taking account of views expressed at its current session.

20. Regarding the organization of work of COP 3, SBI decided that:
- (a) COP 3 will be held from Monday, 1 to Wednesday, 10 December 1997.
 - (b) After dealing with the opening and organizational matters, COP 3 will immediately allocate the completion of decisions on the Berlin Mandate process to a sessional committee of the whole, open to all delegations.
 - (c) In order to finalize the political negotiations on the outcome of the Berlin Mandate, a ministerial segment will take place from Monday, 8 December to Wednesday, 10 December when the final text of the protocol, or another legal instrument, will be adopted, and
 - (d) The review of the lists in Annexes I and II to the Convention should be on the agendas of COP 3 and COP 4.
21. The SBI requested the secretariat to propose at its sixth session a cost effective and innovative way of organizing the ministerial segment, and providing ministers with adequate opportunities to exchange views on policy matters.
22. It also requested the secretariat to propose arrangements for the communication of views by heads of United Nations programmes and agencies, IGOs and NGOs.

B. Calendar of meetings for 1997-1999

23. With regard to COP 4, the SBI decided that it would recommend at its sixth session, after consideration of the potential offers to host the Conference, the date and venue of COP 4, in accordance with the provisions of the Convention. It called on Parties to submit offers to host COP 4 by its sixth session.
24. The SBI took note of the calendar of meetings for 1997, and requested the secretariat to propose at its sixth session a calendar of meetings for 1998-1999 based on holding two blocks of sessions of the Convention bodies each year, each block comprising two weeks of meetings (see document FCCC/SBI/1996/5, para.22).
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SUBSIDIARY BODY FOR IMPLEMENTATION

Fifth session

Bonn, 25-28 February 1997

Agenda item 8 (a)

MATTERS ARISING FROM THE UNITED NATIONS GENERAL ASSEMBLY

Special Session on Agenda 21: inputs from UNFCCC

1. The United Nations Framework Convention on Climate Change (UNFCCC), which was adopted in 1992, has received 165 instruments of ratification or accession assuring almost universal membership of States.
2. The Convention was one of the key outcomes of the United Nations Conference on Environment and Development (UNCED), and its objectives have a close relationship to the goals of sustainable development. It has linkages to the framework of Agenda 21, with relation to energy, transport, industry, agriculture, forests, water and waste management.
3. An important element in the global effort to address climate change and its impacts is the open exchange of information on the implementation of commitments of Parties under the Convention. This also contributes to developing international debate on longer-term trends in consumption and production patterns, in accordance with Agenda 21. National communications are submitted so that Parties inform each other of how they are meeting their commitments under the Convention and describe their climate change programmes and how these programmes will affect greenhouse gas emissions and sinks by the year 2000.

4. In addition, the UNFCCC secretariat is mandated by the Parties to the Convention to prepare a compilation and synthesis of the national communications for consideration by them. A second such compilation and synthesis was submitted to the second session of the Conference of the Parties (COP) in which it considered the national communications of 33 Annex I Parties. The document provides an overview of the implementation of the Convention by reporting Parties, noting trends and patterns, areas of convergence and divergence, data gaps and other appropriate conclusions, including the overall effects of policies and measures. It demonstrated that while Annex I Parties are fulfilling their commitments to the implementation of national policies and measures on the mitigation of climate change, they need to make additional efforts to overcome difficulties that they face in achieving the aim of returning their emissions of greenhouse gases to 1990 levels by the year 2000.
5. Another link to furthering the goals of sustainable development is the work of the Intergovernmental Panel on Climate Change (IPCC), whose Second Assessment Report is considered to be the most comprehensive and authoritative assessment now available of the scientific and technical information regarding global climate change. The IPCC has now initiated steps towards preparation of its Third Assessment Report to develop a better objective scientific understanding of issues related to climate change, its impacts and possible response options. This report is expected to enhance the formulation of climate change policies in the context of sustainable development.
6. New initiatives for cooperative implementation, including technology transfer and diffusion, between all Parties to the Convention and with the major groups in civil society are also being explored by the Parties of the UNFCCC. Through these linkages the key themes of Agenda 21 pertaining to integrated policy development, citizen participation in decision-making, institutional and human capacity building and global partnerships involving many stakeholders, are being addressed by the UNFCCC.
7. The UNFCCC has also taken first steps to deal with the continued rise of emissions and concentrations of greenhouse gases. The Berlin Mandate agreed by the first Conference of the Parties is the basis for considerable efforts under way in the Ad hoc Group on the Berlin Mandate (AGBM). The COP, at its second session, called, *inter alia*, for acceleration of negotiations of the text of a protocol, or another legal instrument which would fully encompass the remit of the Berlin Mandate. The General Assembly, at its special session, may wish to encourage member States to agree on a satisfactory result of these negotiations at the third session of the COP, scheduled to be held in Kyoto in December 1997.
8. Steps are being taken by developing country Parties to prepare their initial communication of information related to implementation. The Global Environment Facility (GEF), as the interim operating entity of the financial mechanism of the Convention, is supporting developing country Parties in implementing their commitments by funding enabling activities such as planning and endogenous capacity building.

The Subsidiary Body for Implementation (SBI) called on the GEF to provide expeditious and timely support to these Parties and initiate work towards a full replenishment in 1997.

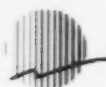
9. Further international action in the implementation of Agenda 21 will help to involve the whole international community in promoting the effective implementation of the United Nations Framework Convention on Climate Change.

10. Noting the relevant provisions of Agenda 21 relating to the transfer of environmentally sound technology, cooperation and capacity building, the COP at its first and second sessions took decisions related to these issues. The General Assembly may also wish to pay special attention to the transfer of technology.

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SUBSIDIARY BODY FOR IMPLEMENTATION

Sixth session

Bonn, 28 July - 5 August 1997

**REPORT OF THE SUBSIDIARY BODY FOR IMPLEMENTATION ON THE WORK
OF ITS SIXTH SESSION, BONN, 28 JULY - 5 AUGUST 1997**

Draft report by the Rapporteur, Mrs. Patricia Iturregui (Peru)

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I. OPENING OF THE SESSION

(Agenda item 1)

1. The sixth session of the Subsidiary Body for Implementation (hereinafter referred to as "the SBI") was held at the Hotel Maritim, Bonn, from 28 July to 5 August 1997.
2. The Chairman of the SBI, Mr. Mohamed M. Ould El Ghouth, opened the session at the 1st meeting, on 28 July 1997. In welcoming the participants, he noted that the sixth session of the SBI would have to take definitive decisions on some issues if the SBI were to complete its workload by the October session.

II. ORGANIZATIONAL MATTERS

(Agenda item 2)

A. Adoption of the agenda

(Agenda item 2 (a))

3. At its 1st meeting, on 28 July, the SBI considered the provisional agenda contained in document FCCC/SBI/1997/7.
4. Statements were made by representatives of x Parties.
5. At its 1st meeting, on 28 July, the SBI adopted the following agenda:
 1. Opening of the session.
 2. Organizational matters:
 - (a) Adoption of the agenda;
 - (b) Organization of the work of the session;
 - (c) Preparation by the SBI for the third session of the Conference of the Parties (COP 3).
 3. Division of labour between the SBI and the Subsidiary Body for Scientific and Technological Advice (SBSTA).
 4. National communications:
 - (a) Communications from Parties included in Annex I to the Convention;
 - (b) Communications from Parties not included in Annex I to the Convention.

5. Financial mechanism: Review process referred to in decision 9/CP.1.
6. Development and transfer of technologies.
7. Administrative and financial matters:
 - (a) Programme budget for 1998-1999;
 - (b) Volume of documentation.
8. Arrangements for intergovernmental meetings:
 - (a) Arrangements for COP 3;
 - (b) Arrangements for COP 4;
 - (c) Calendar of meetings for 1997-1999.
9. Matters arising from the United Nations General Assembly: Special session on Agenda 21.
10. Mechanisms for consultation with non-governmental organizations (NGOs).
11. Report on the session.

B. Organization of the work of the session

(Agenda item 2 (b))

6. At its 1st meeting, on 28 July, the Chairman stated that services would be available from 10 a.m. to 1 p.m. and from 3 p.m. to 6 p.m. on the days allotted to the SBI. The SBI approved the organization of the work as presented by the Chairman. The Chairman also referred to the documentation before the sixth session, as mentioned in document FCCC/SBI/1997/7.

7. The SBI agreed to admit two new intergovernmental organizations and ten non-governmental organizations that had been screened by the secretariat, on the basis of the provisions in paragraph 6 of Article 7 of the Convention, without prejudice to the subsequent action by the COP.

C. Preparation by the SBI for the third session of the Conference of the Parties (COP 3)

(Agenda item 2 (c))

8. The Chairman invited delegates to prepare, to the extent possible, recommendations for appropriate decisions to be adopted by the COP at its third session, and recalled that this approach had already been taken in previous sessions.

D. Attendance

9. The lists of attendance at the sixth session of the SBI are given in document FCCC/SBI/1997/xx.

E. Documentation

10. The documents prepared for the sixth session of the SBI are listed in annex...

III. DIVISION OF LABOUR BETWEEN THE SBI AND THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE (SBSTA)

(Agenda item 3)

1. Proceedings

11. At its 1st meeting, on 28 July, the SBI addressed the item on the division of labour between the SBI and the SBSTA. It had before it a document presented by the secretariat (FCCC/SB/1997/2).

12. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusions

13. At its 5th meeting, on 5 August, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(a) At their sixth session, the SBI and the SBSTA both decided to recommend the following draft decision for adoption by the Conference of the Parties at its third session.

The Conference of the Parties,

1. *Recalling* Articles 9 and 10 of the United Nations Framework Convention on Climate Change,

2. *Recalling also* its decision at its second session that the division of labour between the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation be taken up by the Conference of the Parties at its 3rd session on the basis of recommendations made to it by the Chairmen of the two subsidiary bodies (FCCC/CP/1996/15/Add. 1, page 69),

3. *Having considered* the recommendations made by the Chairmen, through the conclusions of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation, as included in the reports of their sixth sessions, the Conference of the Parties at its 3rd session,

4. *Desiring* to further elaborate the division of labour between the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation,

5. *Decided* that:

6. The division of labour is governed by Articles 9 and 10 of the Convention, and by decisions 6/CP.1, and other relevant decisions of the Conference of the Parties.

7. As indicated in decision 6/CP.1, the role of the subsidiary bodies can be broadly characterized as follows:

(a) The Subsidiary Body for Scientific and Technological Advice will be the link between the scientific, technical and technological assessments and the information provided by competent international bodies, and the policy-oriented needs of the Conference of the Parties;

(b) The Subsidiary Body for Implementation will develop recommendations to assist the Conference of the Parties in its review and assessment of the implementation of the Convention and in the preparation and implementation of its decisions.

8. The consideration of issues which are pertinent to both bodies, should take place in a way which is efficient in the use of time during meetings, to avoid confusion, and to reduce the overall workload. Therefore, in general, one of the bodies will take the overall responsibility in considering an issue; requesting, if necessary, adequate and specific inputs from the other body. Where overall responsibility is not assigned, agendas should be organized to avoid the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation dealing with such issues in parallel sessions. On issues where this is not possible, consideration should be given to holding ad-hoc joint sessions of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation. On this basis the provisions above are clarified as follows:

National communications from Parties

9. The Subsidiary Body for Implementation will have the overall responsibility for:

(a) Developing guidelines on the processes for consideration of national communications;

(b) Considering the information contained in national communications, other relevant documentation and compilation and synthesis reports, with a view to assisting the Conference of the Parties in undertaking its tasks under Article 7.2.(e).

10. In cooperation with the Subsidiary Body for Implementation, the Subsidiary Body for Scientific and Technological Advice will have responsibility for:

(a) Developing guidelines for the provision of comparable information, including all related methodological issues;

(b) Considering, upon the request of the Subsidiary Body for Implementation, as appropriate, national communications and other relevant documentation, such as technical papers, with the aim of, *inter alia*, verifying methodologies used and making recommendations on their refinement, preparing scientific assessments on the effects of measures taken in the implementation of the Convention, reviewing projections and their assumptions, and assessing comprehensiveness and effectiveness of mitigation and adaptation measures.

Development and transfer of technology

11. The Subsidiary Body for Implementation will, with input from the Subsidiary Body for Scientific and Technological Advice as appropriate, have responsibilities for assisting the Conference of the Parties in the assessment and review of the effective implementation of the Convention with respect to the development and transfer of technology.

12. As stipulated in the Convention, and as decided by the Conference of the Parties in decision 6/CP.1, the Subsidiary Body for Scientific and Technological Advice will have responsibility for providing advice on all scientific, technological and methodological aspects of the development and transfer of technology.

Consultations with non-governmental organizations

13. Taking into account the competence of each subsidiary body, the Subsidiary Body for Implementation will have overall responsibility for all policy questions and relevant inputs related to issues dealing with consultation with non-governmental organizations, as appropriate.

14. Should the Subsidiary Body for Scientific and Technological Advice or any other subsidiary body feel that non-governmental organizations could provide relevant input on an item being considered, that body could seek and consider such inputs.

15. Provisional accreditation related to individual non-governmental organizations will be the responsibility of the relevant body involved.

Activities implemented jointly

16. The Subsidiary Body for Scientific and Technological Advice will have the responsibility for:

(a) Developing the framework for reporting, including consideration of scientific, technical and methodological aspects of the reports;

(b) Preparing a synthesis report of activities for the Conference of the Parties.

17. The Subsidiary Body for Implementation will have the responsibility for:

(a) Assisting the Conference of the Parties with reviewing the progress of the activities implemented jointly under the pilot phase, on the basis of inputs by the Subsidiary Body for Scientific and Technological Advice.

Research and systematic observation

18. In accordance with Article 5 of the Convention, the Subsidiary Body for Scientific and Technological Advice will have the overall responsibility for issues related to research and systematic observation, and where necessary, drawing upon the Subsidiary Body for Implementation. The Subsidiary Body for Scientific and Technological Advice shall also play a co-ordination role in such activities related to climate change relevant to the implementation of the Convention.

19. The Subsidiary Body for Implementation, with input from the Subsidiary Body for Scientific and Technological Advice as appropriate, will have the responsibility for assisting the Conference of the Parties in the assessment and review of the effective implementation of the Convention, with respect to research and systematic observation.

Education, training and public awareness

20. In further clarification to decision 6/CP.1, the Subsidiary Body for Scientific and Technological Advice will have the overall responsibility in providing advice on educational, training, and public awareness programmes, and public access to information. When considering such issues, the Subsidiary Body for Scientific and Technological Advice will draw upon, *inter alia*, relevant international organizations.

21. The Subsidiary Body for Implementation, with input from the Subsidiary Body for Scientific and Technological Advice as appropriate, will have responsibility for assisting the Conference of the Parties in the assessment and review of the effective implementation of the Convention with respect to education, training, and public awareness.

IV. NATIONAL COMMUNICATIONS

(Agenda item 4)

A. Communications from Parties included in Annex I to the Convention

(Agenda item 4 (a))

1. Proceedings

14. At its 4th meeting, on 30 July, the SBI addressed the sub-item on national communications from Parties included in Annex I to the Convention. It had before it four documents presented by the secretariat (FCCC/SB/1997/5, FCCC/SB/1997/6, FCCC/IDR.1/DEU, FCCC/IDR.1(SUM)/DEU).

15. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusions

16. At its 4th meeting, on 30 July, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(a) The SBI took note of the report of the secretariat on the progress made in the process of review of the first national communications from Annex I Parties. The SBI requested the secretariat to prepare a report on the experiences with the review process of the first national communications, for consideration at the next session of the SBI.

(b) The SBI urged Annex I Parties which have not yet submitted their second national communication to do so as soon as possible.

(c) The SBI urged all Annex I Parties to submit their views on the schedule of in-depth reviews of the second national communications no later than 25 August and requested the secretariat to prepare the final schedule for consideration at the next session of the SBI.

(d) The SBI expressed its gratitude to the Parties and intergovernmental organizations which made available their experts for participation in in-depth reviews and

encouraged Parties, especially developing country Parties, to continue nominating experts for the in-depth reviews, in particular Parties that recently acceded to the Convention.

(e) The SBI took note of the report on the informal workshop on Annex I communications held in conjunction with the present session of the SBI.

B. Communications from Parties not included in Annex I to the Convention

(Agenda item 4 (b))

1. Proceedings

17. At its 2nd and 5th meetings, on 29 July and 5 August respectively, the SBI addressed the sub-item on national communications from Parties not included in Annex I to the Convention. It had before it four documents presented by the secretariat (FCCC/SBI/1997/9, FCCC/SBI/1997/13, FCCC/SBI/1997/MISC. 4, FCCC/SBI/1997/MISC. 5).

18. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

19. At its 5th meeting on 5 August, having considered a proposal by the Chairman, the SBI adopted the following conclusion:

[To be replaced by text contained in relevant adopted conclusion.]

**V. FINANCIAL MECHANISM: REVIEW PROCESS REFERRED
TO IN DECISION 9/CP.1**

(Agenda item 5)

1. Proceedings

20. At its 2nd and 3rd meetings, on 29 July, the SBI addressed the sub-item on the financial mechanism: review process referred to in decision 9/CP.1. It had before it two documents presented by the secretariat (FCCC/SBI/1997/8, FCCC/SBI/1997/MISC. 3).

21. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusions

22. At its 5th meeting, on 5 August, having considered a proposal from the Chairman, the SBI adopted the following conclusions:

(a) The SBI, taking into account the views expressed on this agenda item and the draft decision proposed by the Chairman, decided to defer further consideration of this item to its next session.

(b) The SBI urged all Parties to submit their views on the financial mechanism in accordance with the guidelines for its review no later than 8 September 1997 and requested the secretariat to prepare a miscellaneous compilation of these views for consideration at its seventh session.

(c) The SBI invited the Global Environment Facility, in providing information relevant to the review, to take into account the views expressed by the Parties.

VI. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES

(Agenda item 6)

1. Proceedings

23. At its 4th meeting, on 30 July, the SBI addressed the item on development and transfer of technologies. It had before it three documents presented by the secretariat (FCCC/SB/1997/3, FCCC/SB/1997/4, FCCC/TP/1997/1).

24. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

25. At its 4th meeting, on 30 July, the SBI, on a proposal by the Chairman, decided to refer this item to the SBSTA for its consideration.

VII. ADMINISTRATIVE AND FINANCIAL MATTERS

(Agenda item 7)

A. Programme budget for 1998 - 1999

(Agenda item 7 (a))

1. Proceedings

26. At its 1st and 5th meetings, on 28 July and 5 August respectively, the SBI addressed the sub-item on administrative and financial matters: programme budget for 1998-1999. It had before it three documents presented by the secretariat (FCCC/SBI/1997/10, FCCC/SBI/1997/INF. 1, FCCC/SBI/1997/INF. 2). In presenting these documents at the first meeting, the Executive Secretary also drew attention to delays in contributions to the core budget and to the recurrent shortage of money in the trust fund for participation. He stated the intention by the secretariat to link eligibility for the latter with the state of payments by Parties to the former.

27. Statements were made by the representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusions

28. At its 5th meeting on 5 August, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(a) The SBI recommended for adoption by the COP the following budget decision which would require finalization at the Conference with respect to the contingencies indicated therein:

The Conference of the Parties,

1. *Recalling* paragraph 4 of the financial procedures for the Conference of the Parties,

2. *Having considered* the proposed budget for the biennium 1998-1999 submitted by the Executive Secretary (FCCC/SBI/1997/10),

3. *Noting* the annual contribution of the host Government, DM 1.5 million, which offsets planned expenditures,

4. *Approves* the programme budget for the biennium 1998-1999, amounting to [\$X], for the purposes specified in the table contained in annex I to this decision;

5. *Approves* the staffing table for the programme budget, including the post of the Executive Secretary at the level of Assistant Secretary General and two other senior posts at the level of D-2, as contained in annex II to this decision;
6. *Approves* a contingency budget for conference servicing, amounting to US\$ 5,184,900, to be added to the programme budget for the coming biennium in the event that the General Assembly of the United Nations decides not to provide resources for these activities in the regular United Nations budget for 1998-1999 (see annex III to this decision);
7. [*Decides* to incorporate in the programme budget for the biennium 1998-1999 approved under paragraph 4 above and the staffing table approved under paragraph 5 above, the resources for a post-Kyoto intergovernmental process contingent upon the decision by the Conference of the Parties at its 3rd session to that effect, and as agreed by the Subsidiary Body for Implementation at its sixth session, amounting to US\$ 840,400 (see annex IV to this decision);]
8. *Requests* the Executive Secretary to report to the Subsidiary Body for Implementation at its first session in 1998 on the implementation of paragraph 6 above;
9. *Authorizes* the Executive Secretary to make transfers, between each of the main appropriation lines set out in annex I, up to an aggregate limit of 15 per cent of total estimated expenditure for those appropriation lines, provided that a further limitation of up to minus 25 per cent of each such appropriation line shall apply;
10. *Decides* to maintain the level of the working capital reserve at 8.3 per cent of the estimated expenditure;
11. *Invites* all Parties to the Convention to note that contributions to the core budget are due on 1 January of each year in accordance with paragraph 8(b) of the financial procedures and to pay promptly and in full, for each of the years 1998 and 1999, the contributions required to finance expenditures approved under paragraph 4 [and 7] of this decision, as offset by estimated contributions noted under paragraph 3 herein, and the contributions which may result from the decision of the General Assembly referred to in paragraph 6 above;
12. *Takes note* of the funding estimates for the Trust Fund for Participation in the United Nations Framework Convention on Climate Change Process and the Trust Fund for Supplementary Activities under the United Nations Framework Convention on Climate Change specified by the Executive Secretary and included in annex V to this note, and invites Parties to make contributions to these funds;
13. *Requests* the Executive Secretary to report to the Conference of the Parties at its next session on income and budget performance, and to propose any adjustments that might be needed in the Convention budget for 1998-1999.

29. The SBI, in consequence of the above:

(a) Authorizes the Executive Secretary to notify the Parties by 1 October 1997 of their contributions to the core budget by 1 January 1998 on the basis of the budget recommended to COP and the contingencies included in paragraphs 6 and 7 of the above draft decision and on the basis of the existing indicative scale of contributions (decision 15/CP.1, paragraph 7 (a) and annex II of that decision) to be subsequently adapted to reflect any changes agreed upon by the General Assembly in the United Nations scale of assessments; and

(b) Invites the President of the COP to communicate to the Secretary-General of the United Nations the recommended level of remuneration of the post of Executive Secretary so that an appointment to that post may be made for a period beginning 1 January 1998.

B. Volume of documentation

(Agenda item 7 (b))

1. Proceedings

30. At its 1st and 4th meetings, on 28 and 30 July respectively, the SBI addressed the sub-item on administrative and financial matters: volume of documentation. It had before it a document presented by the secretariat (FCCC/SBI/1997/12).

31. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

32. At its 4th meeting on 30 July, having considered a proposal by the Chairman, the SBI adopted the following conclusion:

(a) At its sixth session, the SBI decided to recommend the following draft decision for adoption by the Conference of the Parties at its third session:

The Conference of the Parties,

1. *Recalling* its decision 17CP.2, paragraph 2, whereby it requested the Executive Secretary to submit to the Subsidiary Body for Implementation, at its fifth session further options for reducing the cost of documentation for the meetings of the Conference of the Parties and its subsidiary bodies;

2. *Takes note* of the efforts of the Convention secretariat to reduce the volume of documentation, as indicated in paragraphs 9 and 10 of document FCCC/SBI/1997/12 on volume of documentation;
3. *Requests* the Executive Secretary to explore with the United Nations, the possibility of ensuring unlimited access to all language versions of the documents of the United Nations Framework Convention on Climate Change that the United Nations makes available on its optical disk system on a restricted page on the World Wide Web.
4. *Invites* the Parties:
 - (a) To limit the volume of their submissions for circulation to Convention bodies, including those that do not require translation;
 - (b) To focus the content of submissions on material pertinent to the forthcoming sessions of the subsidiary bodies and to seek to avoid repetition of previously presented statements;
 - (c) To limit their requests for numbers of hard copies of documents;
 - (d) To limit the requests for documents that need to be translated; and
 - (e) To schedule the delivery of documents in a timely manner that corresponds to the capacity of the Convention bodies to consider them.
5. *Notes* the intention of the Executive Secretary to advise presiding officers on the feasibility of producing in a timely manner, the documentation envisaged in the conclusions of subsidiary bodies, before those conclusions are adopted.

VIII. ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS

(Agenda item 8)

A. Arrangements for COP 3

(Agenda item 8 (a))

1. Proceedings

33. At its 3rd, 4th and 5th meetings, on 29 and 30 July and 5 August respectively, the SBI addressed the sub-item on arrangements for intergovernmental meetings: arrangements for COP3. It had before it a document presented by the secretariat (FCCC/SBI/1997/11).

34. Statements were made by the representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

[To be replaced by text contained in relevant adopted conclusion.]

B. Arrangements for COP 4

(Agenda item 8 (b))

1. Proceedings

35. At its 3rd, 4th and 5th meetings, on 29 and 30 July and 5 August respectively, the SBI addressed the sub-item on arrangements for intergovernmental meetings: arrangements for COP 4. It had before it a document presented by the secretariat (FCCC/SBI/1997/11).

36. Statements were made by the representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

[To be replaced by text contained in relevant adopted conclusion.]

C. Calendar of meetings for 1997-1999

(Agenda 8(c))

1. Proceedings

37. At its 3rd, 4th and 5th meetings, on 29 and 30 July and 5th August respectively, the SBI addressed the sub-item on arrangements for intergovernmental meetings: calendar of meetings for 1997-1999. It had before it a document presented by the secretariat (FCCC/SBI/1997/11).

38. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

[To be replaced by text contained in relevant adopted conclusion.]

IX. MATTERS ARISING FROM THE UNITED NATIONS GENERAL ASSEMBLY: SPECIAL SESSION ON AGENDA 21

(Agenda item 9)

1. Proceedings

39. At its 4th meeting, on 30 July, the SBI addressed the item on matters arising from the United Nations General Assembly: special session on Agenda 21. The secretariat made available an extract from the conclusions.

40. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusion

41. At its 4th meeting on 30 July, having considered a proposal by the Chairman, the SBI took note of the information provided by the secretariat.

X. MECHANISMS FOR CONSULTATION WITH NON-GOVERNMENTAL ORGANIZATIONS (NGOs)

(Agenda item 10)

1. Proceedings

42. At its 4th meeting, on 30 July, the SBI addressed the item on mechanisms for consultation with non-governmental organizations (NGOs). It had before it three documents presented by the secretariat (FCCC/SBI/1997/14, FCCC/SBI/1997/14/Add. 1, FCCC/SBI/1997/MISC. 6).

43. Statements were made by representatives of x Parties, including x speaking on behalf of the European Community and its member States and x speaking on behalf of the Group of 77 and China.

2. Conclusions

44. At its 4th meeting on 30 July, having considered a proposal by the Chairman, the SBI adopted the following conclusions:

(a) The SBI took note of documents FCCC/SBI/1997/14 and FCCC/SBI/1997/14/Add.1 presented by the secretariat on agenda item 10 "Mechanisms for consultations with non-governmental organizations".

(b) After having considered this item, and taking into account views expressed at its sixth session, the SBI urged all Parties to submit their views on this item no later than 25 August for its consideration at its seventh session.

(c) The SBI decided to consider this issue at its seventh session.

XI. REPORT ON THE SESSION

(Agenda item 11)

45. The SBI requested the Rapporteur, with the guidance of the Chairman and the assistance of the secretariat, to complete the report on the session taking into account the discussions during the session and the need for editorial adjustments.

46. The Chairman, after thanking all participants for their co-operation throughout the meeting, declared the sixth session of the SBI closed.

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Agenda item 8 (a)

ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS

(Agenda item 8 (a))

Draft conclusions by the chairman

1. The Subsidiary Body for Implementation, at its sixth meeting, recalling conclusions adopted at its fifth session and on the basis of proposals presented by the Chairman as well as views expressed by delegations:

(a) Took note of the report by the secretariat on the progress made regarding arrangements for the Conference of the Parties at its third session (COP 3) and urged the Government of Japan and the secretariat to conclude expeditiously the arrangements for hosting the Conference;

(b) Requested the Executive Secretary and the President of the Bureau of the COP when finalizing the provisional agenda for COP 3 to take into account views expressed by delegations concerning the content and order of the provisional agenda;

[(b bis) Requested that the Convention secretariat and the President of the Bureau of the COP make all necessary preparations for COP 3 to conduct the second review of the adequacy of Article 4.2, subparagraphs (a) and (b), and the review of Annexes I and II and required by Article 4.2, subparagraph (f).];

(c) Requested the Executive Secretary to proceed with the organizational preparations for COP 3, in particular, the organization of work on the basis of the proposals contained in section (II) (c) of document FCCC/SBI/1997/11, seeking advice from the Bureau as needed and taking into account views and comments expressed by delegations during the current session.

(d) Invited the President of COP 2 to start consultations with a view to advising the newly-elected President of COP 3 on the election of the other members of the Bureau and the Chairman of the Committee of the Whole.

(e) Recommended the holding of a High Level Segment of Ministers and other Heads of Delegations at COP 3 from [8 to 10] December to promote decision-making and noted that it should be open to participation by Ministers and other Heads of Delegations in all its meetings, accompanied by senior advisers as necessary.

[(f) Noted that the President of the COP at its third session will consider arrangements to promote informal dialogue among Ministers and other Heads of Delegations and to enable them to receive possible contributions from partner agencies and non-governmental organizations.]

(g) Agreed to conduct a preliminary exchange of views at the next session of SBI on the proposed amendments to the Convention.



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Items 8 (b) and (c) of the provisional agenda

ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS

Draft conclusions by the Chairman

Arrangements for COP 4

(Agenda item 8 (b))

1. The Subsidiary Body for Implementation (SBI), noted that as at its sixth session no offer had been received to host the fourth session of the Conference of the Parties (COP 4).
2. The SBI took note of the comments expressed by the Parties on the date and venue for COP 4 and decided to recommend the draft decision contained in the annex for adoption by COP 3.
3. The SBI invited any Party considering making an offer to host COP 4 to communicate such proposal to the secretariat before 30 September 1997 so that the secretariat can take it into account in its planning for the Conference.

Calendar of meetings for 1998 - 1999

(Agenda item 8 (c))

4. The SBI took note of the calendar of meetings for 1998 - 1999 proposed by the secretariat which will be kept under review by the Bureau of the COP.

Annex

At its sixth session, the SBI decided to recommend the following draft decision for adoption by the Conference of the Parties at its third session.

The Conference of the Parties,

1. *Recalling* Articles 7.4 and 4.2 (d) and (f) of the Convention,
2. *Decides* that [COP 4 should be held in November 1998]/[COP 4 should take place in early 1999] in Bonn unless a proposal is received from a Party to host the Conference; and
3. *Requests* the Executive Secretary to initiate the preparations for the Conference.



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DRAFT DECISION ON PREPARATIONS FOR COP 4

Group of 77 and China

The Conference of the Parties,

1. *Recalling* Article 7.4 of the Convention, which stipulates that "ordinary sessions of the COP shall be held every year unless otherwise decided by the COP",
2. *Bearing in mind* the provision of the Convention which, in Article 4.2 (d) provides that a second review of sub-paragraphs 4.2 (a) and (b) "shall take place not later than 31 December 1998, and thereafter at regular intervals determined by the Conference of the Parties until the objective of the Convention is met",
3. *Affirming* that all Parties to the Convention must abide by the provision of the Convention,
4. *Decided* hereby to
 - (a) Request that the "second review" as stipulated in Article 4.2 (d) of the Convention be placed on the agenda of the fourth session of the Conference of the Parties to be held not later than 31 December 1998;
 - (b) Request that the Convention secretariat make all necessary preparations for the second review by Conference of the Parties at its fourth session (COP 4) of adequacy of Article 4.2 sub-paragraphs (a) and (b), taking into account the actions taken and progress made since the adoption of decision 1/CP.1, including a compilation of relevant excerpts of the additional communications from Annex I Parties in this regard;

5. *Further request* the secretariat to render all necessary assistance to, and provide all relevant information to, the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice in making preparations well in advance for COP 4 to conduct the aforementioned "second review" not later than 31 December 1998 as provided for in Article 4.2 (d) of the Convention.

N.B.: The above operative paragraphs are based on position statement made by Group of 77 and China on 26 February 1997.
